

When Your Broker Calls, Take Notes!

(If you don't know the broker, feel free to hang up!)

Date _____ Time _____

☐ Call Made ☐ Call received ☐ Meeting Location _____

Name of Broker _____ Phone _____

Broker's Firm _____ Phone _____

Broker's
CRD No. _____ ☐ Obtained CRD Report *

Make copies of this form to have handy and use it to make notes of conversations with your salesperson or adviser. Be sure to record details of the recommendations you receive and the instructions you give. Keep the notes in your files.

1 Investment Recommendation

☐ Buy ☐ Sell

Name of Security _____

Reasons for recommendation _____

How does this meet my investment objectives? _____

What are the risks? _____

I asked to receive written information about the investment before making a decision.

☐ Yes ☐ No

I will get:

- ☐ a prospectus
- ☐ an offering memorandum
- ☐ most recent Annual Report
- ☐ most recent quarterly or interim reports
- ☐ recent news releases
- ☐ research reports
- ☐ other information

Proposed Trade

Number of shares/units _____

Prior Per Share \$ _____ Total Cost \$ _____

Commission _____

My Instructions

☐ Do nothing ☐ Buy ☐ Sell

Number _____ Price \$ _____

* Call your securities regulator to obtain the CRD report, which discloses any disciplinary incidents, on your salesperson.

If you suspect wrong doing, please contact your securities regulator.

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2 Additional Investment Recommendation on same date

☐ Buy

☐ Sell

Name of Security _____

Reasons for recommendation _____

How does this meet my investment objectives? _____

What are the risks? _____

Notes

Notes made by _____ Date _____ Time _____

I asked to receive written information about the investment before making a decision.

☐ Yes

☐ No

I will get:

☐ a prospectus

☐ an offering memorandum

☐ most recent Annual Report

☐ most recent quarterly or interim reports

☐ recent news releases

☐ research reports

☐ other information

Proposed Trade

Number of shares/units _____

Prior Per Share \$ _____ Total Cost \$ _____

Commission _____

My Instructions

☐ Do nothing

☐ Buy

☐ Sell

Number _____ Price \$ _____

* Call your securities regulator to obtain the CRD report, which discloses any disciplinary incidents, on your salesperson.